

## **Chapter 14.00**

### **CONTROLLED SUBSTANCES OFFENSES**

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## **Introduction to Controlled Substance Elements Instructions**

(current through February 15, 2011)

Chapter 14 includes elements instructions for selected controlled substances offenses based on the frequency of prosecution. The instructions cover the following offenses:

- three offenses codified in 21 U.S.C. § 841(a)(1), including
  - possession of a controlled substance with intent to distribute,
  - distribution of a controlled substance, and
  - manufacture of a controlled substance;
- the offense codified in 21 U.S.C. § 844, possession of a controlled substance;
- one offense codified in 21 U.S.C. § 846, conspiracy; and
- the offense and sentence enhancement codified in 21 U.S.C. § 860(a), distribution of a controlled substance in or near schools or colleges.

In addition, this chapter includes two instructions to cover the jury’s role in sentencing under *Apprendi v. New Jersey*, 530 U.S. 466 (2000) and special verdict forms for the jury.

Title 21 U.S.C. § 841(a)(1) provides, “[I]t shall be unlawful for any person knowingly or intentionally – (1) to manufacture, distribute, or dispense, or possess with intent to manufacture, distribute, or dispense, a controlled substance . . . .” The instructions cover the three most frequently prosecuted offenses under this section as follows:

- 14.01 Possession of a Controlled Substance with Intent to Distribute (21 U.S.C. § 841(a)(1))
- 14.02 Distribution of a Controlled Substance (21 U.S.C. § 841(a)(1))
- 14.03 Manufacture of a Controlled Substance (21 U.S.C. § 841(a)(1))

If the § 841 charge is based on the conduct of dispensing, or possessing with intent to manufacture or to dispense, these instructions may be modified.

Section 844(a) provides, “It shall be unlawful for any person knowingly or intentionally to possess a controlled substance . . . .” This offense is covered by Instruction 14.04 Possession of a Controlled Substance (21 U.S.C. § 844).

Section 846 provides, “Any person who attempts or conspires to commit any offense defined in this title shall be subject to the same penalties as those prescribed for the offense, the commission of which was the object of the attempt or conspiracy.” The Committee did not draft an instruction for attempted drug crimes because an instruction may be compiled by combining the substantive crime instructions in this chapter with the instructions in Chapter 5 Attempts. The conspiracy offense established by § 846 is covered in this chapter by Instruction 14.05 Conspiracy (21 U.S.C. § 846) because it has some features requiring treatment distinct from the conspiracy offenses covered in Chapter 3 Conspiracy.

Section 860(a) provides, “Any person who violates [§§ 841(a)(1) or 856] by distributing, possessing with intent to distribute, or manufacturing a controlled substance . . . within one thousand feet of [a school, playground or public housing facility], or within 100 feet of a [youth center, public swimming pool or video arcade facility] is . . . subject to . . . [increased] maximum

punishment . . . .” The Committee drafted Instruction 14.06 Distribution in or near Schools or Colleges to cover the basic offense of distributing a controlled substance near a prohibited place. This instruction covers only the crime of distributing a controlled substance near a prohibited area; if the § 860(a) offense charged is not distributing but rather possessing with intent to distribute or manufacturing in the prohibited area, the instruction may be modified. If the underlying violation is based on § 856 rather than § 841, the instruction may be modified. If the charged conduct is based not on § 860(a) but on §§ 860(b) regarding second offenders or 860(c) regarding employing children, the instruction may be modified.

In addition, this chapter includes two instructions for cases requiring jury unanimity on the amount of a controlled substance:

14.07A Unanimity Required: Determining Amount of Controlled Substance (§ 841)

14.07B Unanimity Required: Determining Amount of Controlled Substance (§ 846).

These two instructions explain the background to the jury, and special verdict forms are provided for the jury to work through and record its decisions.

#### **14.01 POSSESSION OF A CONTROLLED SUBSTANCE WITH INTENT TO DISTRIBUTE (21 U.S.C. § 841(a)(1))**

(1) The defendant is charged with the crime of possession of [*name controlled substance*] with intent to distribute. [*Name controlled substance*] is a controlled substance. For you to find the defendant guilty of this crime, you must find that the government has proved each and every one of the following elements beyond a reasonable doubt:

(A) First, the defendant knowingly [or intentionally] possessed [*name controlled substance*].

(B) Second, the defendant intended to distribute [*name controlled substance*].

(2) Now I will give you more detailed instructions on some of these terms.

(A) [*Insert applicable definition of possession from Instructions 2.10, 2.10A, and 2.11 here or as a separate instruction*].

(B) To prove that the defendant “knowingly” possessed the [*name controlled substance*], the defendant did not have to know that the substance was [*name controlled substance*]. It is enough that the defendant knew that it was some kind of controlled substance. Further, the defendant did not have to know how much [*name controlled substance*] he possessed. It is enough that the defendant knew that he possessed some quantity of [*name controlled substance*].

(C) The phrase “intended to distribute” means the defendant intended to deliver or transfer a controlled substance sometime in the future. [The term distribute includes the actual, constructive, or attempted transfer of a controlled substance.] [To distribute a controlled substance, there need not be an exchange of money.]

[(3) In determining whether the defendant had the intent to distribute, you may consider all the facts and circumstances shown by the evidence, including the defendant’s words and actions. Intent to distribute can be inferred from the possession of a large quantity of drugs, too large for personal use alone. You may also consider the estimated street value of the drugs, the purity of the drugs, the manner in which the drugs were packaged, the presence or absence of a large amount of cash, the presence or absence of weapons, and the presence or absence of equipment used for the sale of drugs. The law does not require you to draw such an inference, but you may draw it.]

(4) If you are convinced that the government has proved all of these elements, say so by returning a guilty verdict on this charge. If you have a reasonable doubt about any one of these elements, then you must find the defendant not guilty of this charge.

**Use Note**

The bracketed sentences in paragraph (2)(C) should be used only if relevant.

Optional paragraph (3) should be given only when a basis for inferring the defendant's intent to distribute has been admitted into evidence.

### **Committee Commentary Instruction 14.01**

(current through February 15, 2011)

Title 21 U.S.C. § 841(a)(1) provides that except as authorized by that subchapter, “[I]t shall be unlawful for any person knowingly or intentionally-- (1) to . . . possess with intent to . . . distribute a controlled substance . . . .”

In paragraph (1), the second sentence recognizes that the court determines whether the substance the defendant is charged with possessing falls within the definition of a controlled substance under 21 U.S.C. § 812.

The list of elements in paragraph (1) is adapted from *United States v. Russell*, 595 F.3d 633, 645 (6th Cir. 2010) (*quoting* *United States v. Coffee*, 434 F.3d 887, 897 (6th Cir. 2006)).

Paragraph (1)(A), which requires that the defendant knowingly possessed a controlled substance, is based on Sixth Circuit case law. The instruction requires a mens rea of knowingly and then offers in brackets the option of adding an alternative mens rea of intentionally. As noted above, the statute states that the defendant must “knowingly or intentionally” possess a controlled substance. However, the Sixth Circuit often omits the optional term “intentionally” from the list of elements. *See, e.g.,* *United States v. Russell*, 595 F.3d 633, 645 (6th Cir. 2010) (*quoting* *United States v. Coffee*, 434 F.3d 887, 897 (6th Cir. 2006)) (“The elements of [possession with intent to distribute] are that the defendant: (1) knowingly, (2) possessed a controlled substance, (3) with intent to distribute it.”). *See also* *United States v. Jackson*, 55 F.3d 1219, 1225 (6th Cir. 1995); *United States v. Peters*, 15 F.3d 540, 544 (6th Cir. 1994). Based on this case law, the basic instruction uses the term knowingly. This approach is consistent with the mens rea for possession generally, see Inst. 2.10A Actual Possession. The phrase “or intentionally” is provided in brackets as an option for inclusion based on the language in § 841(a) and for cases where the government used that phrase in the indictment.

In paragraph (2)(A), possession is defined by cross-reference to Pattern Instructions 2.10, 2.10A, and 2.11.

Paragraph (2)(B), which states that to act “knowingly,” the defendant is not required to know the type or quantity of controlled substance involved, is based on *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003) (*quoting* *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001)). Knowledge that the defendant possessed “some type of controlled substance” is sufficient. *United States v. Stapleton*, 297 F. App'x 413, 426 (6th Cir. 2008) (unpublished) (*citing Villarce, supra*). Also, knowledge that the defendant possessed “some quantity” of the controlled substance is sufficient. *Villarce, supra* at 438 (italics omitted).

The definition of “intended to distribute” in paragraph (2)(C) is based on several sources. The terms deliver and transfer are drawn from the statute. The term “distribute” is defined as “to deliver . . . a controlled substance.” § 802(11). The terms “deliver” and “delivery” are defined as “the actual, constructive, or attempted transfer of a controlled substance . . . .” § 802(8). In *United States v. Vincent*, 20 F.3d 229, 233 (6th Cir. 1994), the court used the term deliver and cited § 802(11). The phrase “sometime in the future” is based on *United States v. Pope*, 561 F.3d 663 at 670 (6th Cir. 1977) (holding that omission to instruct on intent-to-distribute element was plain error and suggesting that § 802(11) definition should be given). The first bracketed sentence is drawn from § 802(8), quoted *supra*. The second bracketed sentence, stating that distribution does not require an exchange of money, is based on *United States v. Vincent*, *supra* (citing *United States v. Coady*, 809 F.2d 119, 124 (1st Cir. 1987)). *Accord*, *United States v. Campbell*, 1995 WL 699614 (6th Cir. 1995) (unpublished).

The mens reas of knowledge and intent to distribute need not be proved directly. Instruction 2.08 Inferring Required Mental State states this principle and should be given in appropriate cases. In addition, Instruction 2.09 Deliberate Ignorance explains one approach to proving knowledge under § 841(a). *See, e.g., Stapleton, supra* at 427-28.

Paragraph (3) identifies specifically some circumstances the jury may consider and the inferences it may draw regarding the defendant’s intent to distribute the controlled substance. The second sentence (“Intent to distribute can be inferred from the possession of a large quantity of drugs, too large for personal use alone.”) is drawn verbatim from *United States v. Jackson*, 55 F.3d 1219, 1226 (6th Cir. 1995). The Sixth Circuit frequently cites the quantity of drugs as a basis for inferring intent to distribute. *See, e.g., United States v. Hill*, 142 F.3d 305, 311 (6th Cir. 1998); *United States v. Phibbs*, 999 F.2d 1053, 1065-66 (6th Cir. 1993); *United States v. Giles*, 536 F.2d 136, 141 (6th Cir. 1976). The reference to the estimated street value is based on *Hill, supra*; *United States v. Jackson*, 55 F.3d 1219, 1226 (6th Cir. 1995); *United States v. Vincent*, 20 F.3d 229, 233 (6th Cir. 1994); and *United States v. Dotson*, 871 F.2d 1318, 1323 (6th Cir. 1989), *vacated in part on other grounds*, 895 F.2d 263 (6th Cir. 1990). The reference to purity of the drugs is based on *Vincent, supra*. The manner in which the controlled substance was packaged was approved in *United States v. Coffee*, 434 F.3d 887, 897 (6th Cir. 2006) and *Dotson, supra*. The presence or absence of a large amount of cash is based on *United States v. Stewart*, 69 F. App’x 213, 216 (6th Cir. 2003) (unpublished) and *United States v. Wade*, 1991 WL 158674, 1991 U.S. App Lexis 19418 at \*5 (6th Cir. 1991) (unpublished). The presence or absence of weapons is based on *Coffee, supra*, and the presence or absence of equipment used for the sale of drugs is based on *Coffee, supra*; *Hill, supra* (noting presence of a scale, a blender, currency, razor blades and packaging materials); *Vincent, supra* (noting presence of hand scales suitable for weighing and measuring marijuana, growing lamps and a book describing how to grow marijuana); and *Dotson, supra*. In *United States v. White*, 932 F.2d 588, 590 (6th Cir. 1991), the court reversed a conviction based on, inter alia, insufficient evidence to support an inference of intent to distribute.

There is no requirement that the government prove that the defendant knew that the drugs he possessed were subject to federal regulation. *United States v. Balint*, 258 U.S. 250 (1922).

## **14.02 DISTRIBUTION OF A CONTROLLED SUBSTANCE (21 U.S.C. § 841(a)(1))**

(1) The defendant is charged with the crime of distributing [*name controlled substance*]. [*Name controlled substance*] is a controlled substance. For you to find the defendant guilty of this crime, you must find that the government has proved each and every one of the following elements beyond a reasonable doubt:

(A) The defendant knowingly [or intentionally] distributed [*name controlled substance*], and

(B) That the defendant knew at the time of distribution that the substance was a controlled substance.

(2) Now I will give you more detailed instructions on some of these terms.

(A) To prove that the defendant knowingly distributed the [*name controlled substance*], the defendant did not have to know that the substance was [*name controlled substance*]. It is enough that the defendant knew that it was some kind of controlled substance. Further, the defendant did not have to know how much [*name controlled substance*] he distributed. It is enough that the defendant knew that he distributed some quantity of [*name controlled substance*].

(B) The term “distribute” means the defendant delivered or transferred a controlled substance. [The term distribute includes the actual, constructive, or attempted transfer of a controlled substance.] [The term distribute includes the sale of a controlled substance.]

[(3) In determining whether the defendant knowingly [or intentionally] distributed a controlled substance, you may consider all the facts and circumstances shown by the evidence, including the defendant’s words and actions. Intent to distribute may be inferred from the possession of a large quantity of drugs, too large for personal use alone. You may also consider the estimated street value of the drugs, the purity of the drugs, the manner in which the drugs were packaged, the presence or absence of a large amount of cash, the presence or absence of weapons, and the presence or absence of equipment used for the sale of drugs. The law does not require you to draw such an inference, but you may draw it.]

(4) If you are convinced that the government has proved all of these elements, say so by returning a guilty verdict on this charge. If you have a reasonable doubt about any one of these elements, then you must find the defendant not guilty of this charge.

### **Use Note**

If the first bracketed sentence in paragraph (2)(B) is given, the court should further define the terms actual, constructive, or attempted transfer. The terms actual and constructive are defined in the context of possession in Instructions 2.10 and 2.10A. The term attempt is defined in Instruction 5.01.

Optional paragraph (3) should be given only when a basis for inferring the defendant's intent to distribute has been admitted into evidence.

**Committee Commentary Instruction 14.02**  
(current through February 15, 2011)

Title 21 U.S.C. § 841(a)(1) provides that except as authorized by that subchapter, “[I]t shall be unlawful for any person knowingly or intentionally-- (1) to . . . distribute . . . a controlled substance . . . .”

In paragraph (1), the second sentence recognizes that the court determines whether the substance the defendant is charged with possessing falls within the definition of a controlled substance under 21 U.S.C. § 812.

The list of elements in paragraph (1) is adapted from *United States v. Harris*, 293 F.3d 970, 974 (6th Cir. 2002).

In paragraph (1)(A), the requirement that the defendant knowingly distributed a controlled substance is based on Sixth Circuit case law. The instruction requires a mens rea of knowingly, and then offers in brackets the option of adding an alternative mens rea of intentionally. As noted above, the statute states that the defendant must “knowingly or intentionally” distribute a controlled substance. However, as noted in the commentary to Instruction 14.01 on possession with intent to distribute, the Sixth Circuit often omits the optional term intentionally from the list of elements for that crime. Based on these cases construing the same statute, the instruction for distribution uses the term knowingly, and then provides the phrase “or intentionally” in brackets as an option for inclusion based on the language in § 841(a) and for cases where the government used that term in the indictment.

In paragraph (1)(B), the language requiring the defendant to know at the time of distribution that the substance was a controlled substance is based on *Harris, supra* and *United States v. Gibbs*, 182 F.3d 408 (6th Cir. 1999).

In paragraph (2)(A), which states that to act “knowingly,” the defendant is not required to know the type or quantity of controlled substance involved, is based on *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003) (*quoting* *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001)). Knowledge that the defendant distributed “some type of controlled substance” is sufficient. *United States v. Stapleton*, 297 F. App’x 413, 426 (6th Cir. 2008) (unpublished) (*citing Villarce, supra*). Also, knowledge that the defendant distributed “some quantity” of the controlled substance is sufficient. *Villarce, supra* at 438 (italics omitted).

The definition of “distribute” in paragraph (2)(B) is based on several sources. The term “distribute” is defined as “to deliver . . . a controlled substance.” § 802(11). The terms “deliver” and “delivery” are defined as “the actual, constructive, or attempted transfer of a controlled substance . . . .” § 802(8). In *United States v. Vincent*, 20 F.3d 229, 233 (6th Cir. 1994), the court used the term deliver and cited § 802(11). The first bracketed sentence is drawn from §



802(8), quoted *supra*. The second bracketed sentence, stating that distribution includes the sale of a controlled substance, is based on *United States v. Robbs*, 75 F. App'x 425, 431 (6th Cir. 2003) (unpublished).

Knowledge need not be proved directly. Pattern Instruction 2.08 Inferring Required Mental State states this principle and should be given in appropriate cases. In addition, Pattern Instruction 2.09 Deliberate Ignorance explains one approach to proving knowledge under § 841(a). *See, e.g., United States v. Stapleton*, 297 F. App'x 413, 427-28 (6th Cir. 2008) (unpublished).

Bracketed paragraph (3) identifies specifically some circumstances the jury may consider and the inferences it may draw regarding the defendant's knowing distribution of the controlled substance. This issue often arises in the context of the crime of possession with intent to distribute. For that crime, the Sixth Circuit frequently cites the quantity of drugs as a basis for inferring intent to distribute. *See, e.g., United States v. Hill*, 142 F.3d 305, 311 (6th Cir. 1998); *United States v. Phibbs*, 999 F.2d 1053, 1065-66 (6th Cir. 1993); *United States v. Giles*, 536 F.2d 136, 141 (6th Cir. 1976). The reference to the estimated street value is based on *Hill, supra*; *United States v. Jackson*, 55 F.3d 1219, 1226 (6th Cir. 1995); *United States v. Vincent*, 20 F.3d 229, 233 (6th Cir. 1994); and *United States v. Dotson*, 871 F.2d 1318, 1323 (6th Cir. 1989), *vacated in part on other grounds*, 895 F.2d 263 (6th Cir. 1990). The reference to purity of the drugs is based on *Vincent, supra*. The manner in which the controlled substance was packaged was approved in *United States v. Coffee*, 434 F.3d 887, 897 (6th Cir. 2006) and *Dotson, supra*. The presence or absence of a large amount of cash is based on *United States v. Stewart*, 69 F. App'x 213, 216 (6th Cir. 2003) (unpublished) and *United States v. Wade*, 1991 WL 158674, 1991 U.S. App Lexis 19418 at \*5 (6th Cir. 1991) (unpublished). The presence or absence of weapons is based on *Coffee, supra*, and the presence or absence of equipment used for the sale of drugs is based on *Coffee, supra*; *Hill, supra* (noting presence of a scale, a blender, currency, razor blades and packaging materials); *Vincent, supra* (noting presence of hand scales suitable for weighing and measuring marijuana, growing lamps and a book describing how to grow marijuana); and *Dotson, supra*. In *United States v. White*, 932 F.2d 588, 590 (6th Cir. 1991), the court reversed a conviction for possession with intent to distribute based on, *inter alia*, insufficient evidence to support an inference of intent to distribute.

### **14.03 MANUFACTURE OF A CONTROLLED SUBSTANCE (21 U.S.C. § 841(a)(1))**

(1) The defendant is charged with the crime of manufacturing [*name controlled substance*]. [*Name controlled substance*] is a controlled substance. For you to find the defendant guilty of this crime, you must find that the government has proved each and every one of the following elements beyond a reasonable doubt:

(A) First, the defendant manufactured [*name controlled substance*].

(B) Second, the defendant did so knowingly [or intentionally].

(2) Now I will give you more detailed instructions on some of these terms.

(A) The term “manufacture” means the [production] [preparation] [propagation] [compounding] [processing] of a [drug] [other substance] either directly or indirectly [by extraction from substances of natural origin] [independently by means of chemical synthesis] [by a combination of extraction and chemical synthesis]. [The term “manufacture” includes any packaging or repackaging of a substance or labeling or relabeling of its container.] [The term “manufacture” does not include the preparation, compounding, packaging, or labeling of a drug or other substance in conformity with applicable law by a practitioner as an incident to the administration or dispensing of such drug or substance in the course of a professional practice.] [The term “production” includes the planting, cultivating, growing, or harvesting of a controlled substance.]

(B) To prove that the defendant knowingly manufactured the [*name controlled substance*], the defendant did not have to know that the substance was [*name controlled substance*]. It is enough that the defendant knew that it was some kind of controlled substance. Further, the defendant did not have to know how much [*name controlled substance*] he manufactured. It is enough that the defendant knew that he manufactured some quantity of [*name controlled substance*].

(3) If you are convinced that the government has proved all of these elements, say so by returning a guilty verdict on this charge. If you have a reasonable doubt about any one of these elements, then you must find the defendant not guilty of this charge

#### **Use Note**

This instruction covers only the conduct of manufacturing; if the conduct charged is distributing, see Instruction 14.02; if the conduct is dispensing, the instruction can be modified. If the conduct charged is possession with intent to manufacture, Instruction 14.01 Possession with Intent to Distribute may be modified.

Title 21 U.S.C. § 841(a)(1) provides that except as authorized by that subchapter, “[I]t shall be unlawful for any person knowingly or intentionally-- (1) to manufacture . . . a controlled substance . . . .”

In paragraph (1), the second sentence recognizes that the court determines whether the substance the defendant is charged with possessing falls within the definition of a controlled substance under 21 U.S.C. § 812.

The list of elements in paragraph (1) is based on the statute.

In paragraph (1)(B), the requirement that the defendant knowingly manufactured a controlled substance is based Sixth Circuit case law. The instruction requires a mens rea of knowingly and then offers in brackets the option of adding an alternative mens rea of intentionally. As noted above, the statute states that the defendant must “knowingly or intentionally” manufacture a controlled substance. However, as noted in the commentary to Instruction 14.01 on possession with intent to distribute, the Sixth Circuit often omits the optional term “intentionally” from the list of elements for that crime. Based on these cases construing the same statute, the instruction for manufacturing uses the term knowingly, and then provides the term “or intentionally” in brackets as an option based on the language in § 841(a) and for cases where the government used that term in the indictment.

In paragraph (2)(A), the definition of manufacture is based on § 802(15). Some options in that definition have been bracketed to minimize unnecessary words. The bracketed statement on production including planting, cultivating, etc. is based on § 802(22) with the redundant term manufacturing deleted.

Paragraph (2)(B), which states that to act “knowingly,” the defendant need not know the type or quantity of controlled substance involved, is based on *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003) (*quoting* *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001)). Knowledge that the defendant manufactured “some type of controlled substance” is sufficient. *United States v. Stapleton*, 297 F. App’x 413, 426 (6th Cir. 2008) (unpublished) (*citing Villarce, supra*). Also, knowledge that the defendant manufactured “some quantity” of the controlled substance is sufficient. *Villarce, supra* at 438 (italics omitted).

Knowledge need not be proved directly. Pattern Instruction 2.08 Inferring Required Mental State states this principle and should be given in appropriate cases. In addition, Pattern Instruction 2.09 Deliberate Ignorance explains one approach to proving knowledge under § 841(a). *See, e.g., Stapleton, supra* at 428.

Unlike the instructions above on possession with intent to distribute and distribution, see paragraphs 14.01(3) and 14.02(3) respectively, this instruction on manufacture does not include a paragraph identifying specific types of facts the court has approved as bases for inferring mens rea. These provisions may be given if appropriate based on the facts of the case.

#### **14.04 POSSESSION OF A CONTROLLED SUBSTANCE (21 U.S.C. § 844)**

(1) The defendant is charged with the crime of possessing *[name controlled substance]*. *[Name controlled substance]* is a controlled substance. For you to find the defendant guilty of this crime, you must find that the government has proved each and every one of the following elements beyond a reasonable doubt:

(A) First, the defendant possessed *[name controlled substance]*.

(B) Second, the defendant did so knowingly [or intentionally].

(2) Now I will give you more detailed instructions on some of these terms.

(A) *[Insert applicable definition of possession from Instructions 2.10, 2.10A, and 2.11 here or as a separate instruction]*.

(B) To prove that the defendant “knowingly” possessed the *[name controlled substance]*, the defendant does not have to know that the substance was *[name controlled substance]*. It is enough that the defendant knew that it was some kind of controlled substance. Further, the defendant did not have to know how much *[name controlled substance]* he possessed. It is enough that the defendant knew that he possessed some quantity of *[name controlled substance]*.

(3) If you are convinced that the government has proved all of these elements, say so by returning a guilty verdict on this charge. If you have a reasonable doubt about any one of these elements, then you must find the defendant not guilty of this charge.

#### **Committee Commentary 14.04** (current through February 15, 2011)

Title 21 U.S.C. § 844 provides that “It shall be unlawful for any person knowingly or intentionally . . . to possess a controlled substance.”

In paragraph (1), the second sentence recognizes that the court determines whether the substance the defendant is charged with possessing falls within the definition of a controlled substance under 21 U.S.C. § 812.

The elements in paragraph (1) are adapted from *United States v. Colon*, 268 F.3d 367, 375 (6th Cir. 2001).

Paragraph (1)(B), which requires that the defendant knowingly possessed a controlled substance, is based on Sixth Circuit case law. The instruction requires a mens rea of knowingly and then offers in brackets the option of adding the alternative mens rea of intentionally. As noted above, the statute states that the defendant must “knowingly or intentionally” possess a controlled substance. However, the Sixth Circuit often omits the optional term “intentionally”

from the list of elements in the context of § 841(a). *See, e.g.,* United States v. Russell, 595 F.3d 633, 645 (6th Cir. 2010) (*quoting* United States v. Coffee, 434 F.3d 887, 897 (6th Cir. 2006)) (“The elements of [possession with intent to distribute] are that the defendant: (1) knowingly, (2) possessed a controlled substance, (3) with intent to distribute it.”). *See also* United States v. Jackson, 55 F.3d 1219, 1225 (6th Cir. 1995); United States v. Peters, 15 F.3d 540, 544 (6th Cir. 1994) (*citing* United States v. Clark, 928 F.2d 733, 736 (6th Cir. 1991)). Based on this case law, the instruction for simple possession uses the term knowingly. This approach is consistent with the mens rea for possession generally, see Inst. 2.10A Actual Possession. The term “or intentionally” is provided in brackets as an option based on the language in § 844 and for cases where the government used that term in the indictment.

In paragraph (2)(A), the definition of possessed is a cross-reference to Pattern Instructions 2.10, 2.10A and 2.11.

In paragraph (2)(B), the statement that to act “knowingly” under § 844, the defendant need not know the type of controlled substance involved, is based on United States v. Clay, 346 F.3d 173, 177 (6th Cir. 2003). The statement that the defendant need not know the amount of the controlled substance involved is based on cases construing § 841, including United States v. Villarce, 323 F.3d 435, 439 (6th Cir. 2003) (*quoting* United States v. Garcia, 252 F.3d 838, 844 (6th Cir. 2001)) and United States v. Stapleton, 297 F. App’x 413, 426 (6th Cir. 2008) (unpublished).

## 14.05 CONSPIRACY TO VIOLATE THE DRUG LAWS (21 U.S.C. § 846)

(1) Count \_\_\_\_ of the indictment charges the defendant[s] with conspiracy to [*insert object(s) of conspiracy*]. It is a crime for two or more persons to conspire, or agree, to commit a drug crime, even if they never actually achieve their goal.

(2) A conspiracy is a kind of criminal partnership. For you to find the defendant [any one of the defendants] guilty of the conspiracy charge, the government must prove each and every one of the following elements beyond a reasonable doubt:

(A) First, that two or more persons conspired, or agreed, to [*insert object(s) of conspiracy*].

(B) Second, that the defendant[s] knowingly and voluntarily joined the conspiracy.

(3) Now I will give you more detailed instructions on some of these terms.

(A) With regard to the first element – a criminal agreement – the government must prove that two or more persons conspired, or agreed, to cooperate with each other to [*insert object(s) of conspiracy*].

(1) This does not require proof of any formal agreement, written or spoken. Nor does this require proof that everyone involved agreed on all the details. But proof that people simply met together from time to time and talked about common interests, or engaged in similar conduct, is not enough to establish a criminal agreement. These are things that you may consider in deciding whether the government has proved an agreement. But without more they are not enough.

(2) What the government must prove is that there was a mutual understanding, either spoken or unspoken, between two or more people, to cooperate with each other to [*insert object(s) of conspiracy*]. This is essential.

(3) An agreement can be proved indirectly, by facts and circumstances which lead to a conclusion that an agreement existed. But it is up to the government to convince you that such facts and circumstances existed in this particular case.

[(4) One more point about the agreement. The indictment accuses the defendant[s] of conspiring to commit several drug crimes. The government does not have to prove that the defendant[s] agreed to commit all these crimes. But the government must prove an agreement to commit at least one of them for you to return a guilty verdict on the conspiracy charge.]

(B) With regard to the second element – the defendant's connection to the conspiracy – the government must prove that the defendant[s] knowingly and voluntarily joined that agreement.

(1) The government must prove that the defendant[s] knew the conspiracy's main purpose and voluntarily joined the conspiracy intending to help advance or achieve its goals. [You must consider each defendant separately in this regard.]

(2) This does not require proof that a defendant knew everything about the conspiracy, or everyone else involved, or that he was a member of it from the very beginning. Nor does it require proof that a defendant played a major role in the conspiracy, or that his connection to it was substantial. A slight role or connection may be enough.

(3) Further, this does not require proof that the defendant knew the drug involved was [*name controlled substance*]. It is enough that the defendant knew that it was some kind of controlled substance. Nor does this require proof that the defendant knew how much [*name controlled substance*] was involved. It is enough that the defendant knew that some quantity was involved.

(4) But proof that a defendant simply knew about a conspiracy, or was present at times, or associated with members of the group, is not enough, even if he approved of what was happening or did not object to it. Similarly, just because a defendant may have done something that happened to help a conspiracy does not necessarily make him a conspirator. These are all things that you may consider in deciding whether the government has proved that a defendant joined a conspiracy. But without more they are not enough.

(5) A defendant's knowledge can be proved indirectly by facts and circumstances which lead to a conclusion that he knew the conspiracy's main purpose. But it is up to the government to convince you that such facts and circumstances existed in this particular case.

(4) You must be convinced that the government has proved all of these elements beyond a reasonable doubt in order to find any one of these defendants guilty of the conspiracy charge.

### **Use Note**

This instruction should be followed by Instructions 3.05 through 3.14 as appropriate based on the facts of the case. If the court gives any of these additional instructions, all references to overt acts should be deleted.

If the object drug offense is not charged and defined elsewhere in the instructions, it must be defined at some point in the conspiracy instruction.

Bracketed paragraph (3)(A)(4) should be included when the indictment alleges multiple object offenses. It is unclear whether an augmented unanimity instruction specifically requiring unanimous agreement on the same object offense is necessary. See generally Instruction 8.03B and Committee Commentary.

The bracketed sentence in paragraph (3)(B)(1) on considering each defendant separately should be included when multiple defendants are charged with conspiracy.

Specific instructions that an agreement between a defendant and a government agent will not support a conspiracy conviction may be required where important based on the facts of the particular case.

Additional instructions may be appropriate in cases involving defendants who were merely purchasers of contraband, or who were merely suppliers of goods or other items used to commit a drug crime.

#### **Committee Commentary 14.05** (current through February 15, 2011)

This instruction outlines the basic elements of conspiracy to violate the drug laws under 21 U.S.C. § 846, which imposes penalties on “[a]ny person who . . . conspires to commit any offense defined in [Title 21] . . . .”

The structure of this instruction is based on the conspiracy instructions in Chapter 3, but it is specifically tailored for conspiracies to violate the drug laws. Paragraphs (1) and (2) are based on paragraphs (1) and (2) of Instruction 3.01A Conspiracy to Commit an Offense – Basic Elements. The list of elements in paragraph (2) reflects the law that conspiracies charged under § 846 do not require an overt act in furtherance of the conspiracy. *United States v. Shabani*, 513 U.S. 10 (1994).

The paragraphs under (3)(A) defining the first element, a criminal agreement, are drawn from Instruction 3.02 Agreement.

In paragraph (3)(A)(1), the language is adopted verbatim from Instruction 3.02(2). In *United States v. Watkins*, 1994 WL 464193, 1994 U.S. App. LEXIS 23886 (6th Cir. 1994) (unpublished), a panel of the court quoted the third sentence of Inst. 3.02(2) with approval in a § 846 prosecution. In that case, the district court gave the pattern instruction, and a panel of the Sixth Circuit found no error in the district court’s refusal to give a supplemental instruction stating that mere presence at the scene of a crime and knowledge that a crime is being committed are not sufficient. The panel described the pattern instruction as “thorough and adequate.” *Watkins*, 1994 WL at 3, 1994 LEXIS at 7, *quoting* the third sentence of paragraph (2).

Sixth Circuit cases establish that “[P]roof of a formal agreement is not necessary; a tacit or material understanding among the parties will suffice.” *United States v. Deitz*, 577 F.3d 672, 677 (6th Cir. 2009) (interior quotations omitted) (*quoting* *United States v. Martinez*, 430 F.3d 317, 330 (6th Cir. 2005) *and citing* *United States v. Welch*, 97 F.3d 142, 148-49 (6th Cir. 1996)). Nor must the government prove that there was agreement on all the details of how the crime would be carried out. *See, e.g.*, *United States v. Schultz*, 855 F.2d 1217, 1221 (6th Cir. 1988). However, the government must prove beyond a reasonable doubt that the defendant entered an agreement to violate the drug laws. *United States v. Sliwo*, 620 F.3d 630 (6th Cir. 2010)



(reversing conviction under § 846 for insufficient evidence because all the government proved was that the defendant probably was involved in some illegal enterprise, which failed the requirement to prove an agreement to violate the drug laws).

Paragraph (3)(A)(2) is based on Inst. 3.02(3). The requirement that the agreement involve “two or more persons” reflects the settled law that “proof of an agreement between a defendant and a government agent or informer will not support a conspiracy conviction.” *United States v. Pennell*, 737 F.2d 521, 536 (6th Cir. 1984). Where important given the facts of the particular case, specific instructions on this point may be required. *United States v. Nunez*, 889 F.2d 1564, 1568-70 (6th Cir. 1989).

The language of paragraph (3)(A)(3) is taken verbatim from Inst. 3.02(4). A § 846 conspiracy may be proved by direct or circumstantial evidence. *United States v. Gunter*, 551 F.3d 472, 482 (6th Cir. 2008). It is well-established that the government does not have to present direct evidence of an agreement. *See, e.g., United States v. Thompson*, 533 F.2d 1006, 1009 (6th Cir. 1976). The conspiracy may be inferred from circumstantial evidence that can reasonably be interpreted as participation in the common plan. *United States v. Salgado*, 250 F.3d 438, 447 (6th Cir. 2001) (*quoting United States v. Avery*, 128 F.3d 966, 971 (6th Cir. 1997)).

Paragraph (3)(A)(4) is based on Instruction 3.02(5).

The paragraphs under (3)(B) defining the second element, the defendant’s connection to the conspiracy, are generally based on Instruction 3.03 Defendant’s Connection to the Conspiracy.

In paragraph (3)(B)(1), the language (that the defendant must know of the conspiracy’s main purpose and voluntarily join it intending to help advance or achieve its goals) is adapted from Instruction 3.03(1). In *United States v. Gibbs*, 182 F.3d 408 (6th Cir. 1999), the court stated: “To be found guilty of conspiracy [under § 846], the government must prove that [the defendant] was aware of the object of the conspiracy and that he voluntarily associated himself with it to further its objectives.” 182 F.3d at 421 (internal quotation marks omitted) (*quoting United States v. Hodges*, 935 F.2d 766, 772 (6th Cir. 1991)). *See also Sliwo, supra* at 633 (“This court has repeatedly held that participation in a scheme whose ultimate purpose a defendant does not know is insufficient to sustain a conspiracy conviction under 21 U.S.C. § 846.”)

Paragraph (3)(B)(2) on a defendant’s knowledge and participation is drawn verbatim from Instruction 3.03(2). The Sixth Circuit has characterized the language of this paragraph as the correct legal standard. *United States v. Young*, 553 F.3d 1035, 1050 (6th Cir. 2009). Other § 846 cases establish that once the government has proved a § 846 conspiracy beyond a reasonable doubt, the defendant’s connection to the conspiracy “need only be slight, and the government is only required to prove that the defendant was a party to the conspiratorial agreement.” *United States v. Salgado*, 250 F.3d 438, 447 (6th Cir. 2001). The defendant does not have to be an active participant in each phase of the conspiracy, so long as he is a party to the general conspiratorial agreement. *Gibbs*, 182 F.3d at 421 (*quoting United States v. Hodges*, 935 F.2d 766, 772 (6th Cir. 1991)).

The language of paragraph (3)(B)(3), which states that the defendant is not required to know the type or quantity of controlled substance involved for a conviction under § 846, is based on *United States v. Villarce*, 323 F.3d 435, 439 & n.1 (6th Cir. 2003) (*quoting* *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001)). Knowledge that the defendant possessed “some type of controlled substance” is sufficient. *United States v. Stapleton*, 297 F. App’x 413, 426 (6th Cir. 2008) (unpublished) (*citing Villarce, supra* at 439). Also, knowledge that the defendant possessed “some quantity” of the controlled substance is sufficient. *Villarce, supra* at 438 (italics omitted).

The language of paragraph (3)(B)(4) is taken verbatim from Instruction 3.03(3), which has been endorsed by a panel of the Sixth Circuit. In *United States v. Chubb*, 1993 WL 131922 (6th Cir. 1993) (unpublished), a defendant asked the trial court to instruct that “mere association” with the conspiracy was not enough to convict under § 846, and the court did not give this proffered instruction. A panel of the Sixth Circuit stated that the proffered instruction was a correct statement of the law and noted that it was similar to Pattern Instruction 3.03(3). *Chubb*, 1993 WL 131922 at 6 n.5. The panel concluded that failure to give the proffered instruction was not reversible error in this case based on the other instructions given and the defendant’s theory of defense. *See also* *United States v. Christian*, 786 F.2d 203, 211 (6th Cir. 1986) (“Although mere presence alone is insufficient to support a guilty verdict, presence is a material and probative factor which the jury may consider in reaching its decision.”).

The language of paragraph (3)(B)(5) is drawn verbatim from Instruction 3.03(5). Proving the defendant’s knowledge indirectly is also authorized by Instruction 2.08 Inferring Required Mental State.

The Sixth Circuit provides further guidance on the proof of a defendant’s participation based on the type of conspiracy. Drug conspiracies can often be described as “chain” conspiracies because an agreement can be inferred from the interdependence of the enterprise. *See* *United States v. Henley*, 360 F.3d 509, 513 (6th Cir. 2004) (*quoting* *United States v. Spearman*, 186 F.3d 743, 746 (6th Cir. 1999)). In a chain conspiracy, jurors are permitted to infer that participants understand they are participating in a joint enterprise because success of the enterprise itself is dependent upon the success of those from whom they buy and sell. *Id.* Generally a buyer-seller relationship alone is insufficient to tie a buyer to a conspiracy because “mere sales” do not prove the existence of the agreement for a conspiracy. *United States v. Cole*, 59 F. App’x 696, 699 (6th Cir. 2003) (unpublished). However, the court has often upheld conspiracy convictions where there was additional evidence beyond a mere purchase or sale from which knowledge of the conspiracy could be inferred. *See Cole, supra*; *see also* *U.S. v. Nesbitt*, 90 F.3d 164, 167 (6th Cir. 1996) (finding that evidence of advanced planning and multiple transactions involving large quantities of drugs may show that the defendant was involved in the conspiracy and was not merely engaged in a buyer-seller relationship); *United States v. Anderson*, 89 F.3d 1306, 1310 (6th Cir. 1996) (holding that repeat purchases, purchases of large quantities, or other enduring arrangements, are sufficient to support a conspiracy conviction). The Sixth Circuit has cited a list of factors with approval for use in deciding whether a drug sale is part of a large drug conspiracy. These factors are: (1) the length of the relationship; (2) the established method of payment; (3) the extent to which transactions are standardized; and (4) the level of mutual trust between the buyer and the seller. *Cole, supra* at

700 (*citing* United States v. Rivera, 273 F.3d 751, 755 (7th Cir. 2001)).

Occasionally the § 846 conspiracy cases have referred to proof that the defendant was a “willful” member of the conspiracy. *See, e.g., Deitz, supra* at 678 (quoting United States v. Gardner, 488 F.3d 700, 711 (6th Cir. 2007)). The term “willfully” does not appear in the language of § 846, nor does it appear consistently in case law from the Sixth Circuit, so the Committee did not use the term in the instruction.

Indictments charging conspiracies under 21 U.S.C. § 846 may include multiple drugs as objects of the agreement. When an augmented unanimity instruction is given and the jury returns a general verdict of guilty to a charge that the conspiratorial agreement covered multiple drugs, the general verdict is ambiguous if it cannot be determined whether jurors agreed as to “one or another of the multiple drugs allegedly involved in a conspiracy.” United States v. Neuhausser, 241 F.3d 460, 470 (6th Cir. 2001) (discussing United States v. Dale, 178 F.3d 429 (6th Cir. 1999)). Under these conditions the defendant must be sentenced as if he conspired only as to the drug with the lower penalty. *Id.* at 432-34. Under these circumstances the judge should use a special verdict form. *See Neuhausser*, 241 F.3d at 472 n.8 (“[W]e do not wish to discourage the Government or the trial court from using separate counts, special verdict forms, or more specific instructions in future cases involving multiple-object conspiracies. Plainly, it is appropriate to take any reasonable steps which might ensure that the jury properly understands the task before it, and that its resulting verdict is susceptible of only one interpretation.”) On the other hand, if the indictment and the instructions consistently refer to the multiple drugs using the conjunctive “and,” the general verdict is not ambiguous and the sentence is not limited to the lesser penalty. *Id.* at 468-70. *See also* United State v. Tosh, 330 F.3d 836 (6th Cir. 2003).

In United States v. Schultz, *supra*, 855 F.2d at 1221, the Sixth Circuit approvingly cited United States v. Anello, 765 F.2d 253, 262-263 (1st Cir. 1985), for the proposition that a conditional agreement to purchase controlled substances, if the quality is adequate, is sufficient to support a conspiracy conviction. The Sixth Circuit then went on to hold that a failure to complete the substantive object offense as a result of disagreements among the conspirators over the details of performance did not preclude the existence of a conspiratorial agreement.

#### **14.06 DISTRIBUTION OF A CONTROLLED SUBSTANCE IN OR NEAR SCHOOLS OR COLLEGES (21 U.S.C. § 860(a))**

(1) The defendant is charged with the crime of distributing [*name controlled substance*] in or near [*name prohibited place*]. [*Name controlled substance*] is a controlled substance. For you to find the defendant guilty of this crime, you must find that the government has proved each and every one of the following elements beyond a reasonable doubt:

(A) First, that the defendant knowingly [or intentionally] distributed [*name controlled substance*] and

(B) Second, that he did so within [*insert one option from below*]

– [1000 feet of an [*insert prohibited place from this list*: elementary, vocational, or secondary school or a public or private college, junior college, or university, or a playground, or housing facility owned by a public housing authority]]

– [100 feet of a [*insert prohibited place from this list*: public or private youth center, public swimming pool, or video arcade facility]].

(2) Now I will give you more detailed instructions on some of these terms.

(A) [*Insert definition of relevant prohibited place(s) from list below*]

– [The term “playground” means any outdoor facility [including any parking lot appurtenant thereto] intended for recreation, open to the public, and with any portion thereof containing three or more separate apparatus intended for the recreation of children including, but not limited to, sliding boards, swingsets, and teeterboards.]

– [The term “youth center” means any recreational facility and/or gymnasium [including any parking lot appurtenant thereto], intended primarily for use by persons under 18 years of age, which regularly provides athletic, civic, or cultural activities.]

– [The term “swimming pool” includes any parking lot appurtenant thereto.]

– [The term “video arcade facility” means any facility, legally accessible to persons under 18 years of age, intended primarily for the use of pinball and video machines for amusement containing a minimum of ten pinball and/or video machines.]

(B) The term “distribute” means the defendant delivered or transferred a controlled substance. [The term distribute includes the actual, constructive, or attempted transfer of a controlled substance.] [The term distribute includes the sale of a controlled substance.]

(C) To prove that the defendant knowingly distributed the [*name controlled substance*],

the defendant did not have to know that the substance was [*name controlled substance*]; it is enough that the defendant knew that it was some kind of controlled substance. Further, the defendant did not have to know how much [*name controlled substance*] he distributed. It is enough that the defendant knew that he distributed some quantity of [*name controlled substance*]. And, the defendant did not have to know that his distribution of the [*name controlled substance*] occurred within [*insert one option from below*]

- [1000 feet of [*name prohibited place from paragraph (1)(B)*]]
- [100 feet of [*name prohibited place from paragraph (1)(B)*]].

(3) If you are convinced that the government has proved all of these elements, say so by returning a guilty verdict on this charge. If you have a reasonable doubt about any one of these elements, then you must find the defendant not guilty of this charge.

### Use Note

This instruction covers only the crime of distributing a controlled substance near a prohibited place; if the offense charged is not distributing but rather possessing with intent to distribute or manufacturing near a prohibited place, the instruction should be modified. If the underlying violation is based on § 856 rather than § 841, the instruction should be modified. If the charged conduct is based not on § 860(a) but on §§ 860(b) regarding second offenders or 860(c) regarding employing children, the instruction should be modified.

If the first bracketed sentence in paragraph (2)(B) is given, the court should further define the terms actual, constructive, or attempted transfer. The terms actual and constructive are defined in the context of possession in Instructions 2.10 and 2.10A. The term attempt is defined in Instruction 5.01.

### Committee Commentary Instruction 14.06

(current through February 15, 2011)

Title 21 U.S.C. § 860(a) provides, “Any person who violates [§§ 841(a)(1) or 856] by distributing, possessing with intent to distribute, or manufacturing a controlled substance . . . within one thousand feet of [a school, playground or public housing facility], or within 100 feet of a [youth center, public swimming pool or video arcade facility] is . . . subject to . . . [increased] maximum punishment . . . .” The Committee drafted Instruction 14.06 Distribution in or near Schools or Colleges to cover the basic offense of distributing a controlled substance in or near a prohibited place.

The offense defined in § 860(a) is “a separate offense with enhanced penalties for one who violates § 841(a) . . . .” *United States v. Martinez*, 430 F.3d 317, 339 (6th Cir. 2005); *see also* *United States v. Clanton*, 1994 U.S. App. Lexis 20332 at \*6 (6th Cir. 1994) (unpublished) (§ 860(a) is “essentially a sentence enhancement statute”). Proof of a violation of § 860(a) depends upon proof of an underlying violation of §§ 841(a)(1) or 856 as an element of the

offense. The instruction satisfies this by requiring the jury to find the defendant distributed a controlled substance, an offense under § 841(a)(1) (see Instruction 14.02).

This instruction assumes that the defendant is charged in the same indictment with both the underlying § 841 drug offense and the schoolyard enhancement offense, and that the evidence of both is sufficient. The Committee used this approach because the underlying drug offense and the schoolyard enhancement offense will usually be charged in the same indictment. *See, e.g., United States v. Cross*, 900 F.2d 66 (6th Cir. 1990). No authority from the Supreme Court or Sixth Circuit addresses whether these specific crimes must be charged in the same indictment, but based on cases construing the analogous firearms crime of using or carrying a firearm during and in relation to a crime of violence or drug trafficking crime, the crimes need not be charged in the same indictment. In the context of that § 924(c) firearms crime, the law does not require the two offenses to be charged together; indeed, the predicate crime need not be charged at all. *See U.S. v. Kuehne*, 547 F.3d 667, 680 (6th Cir. 2008); *United States v. Smith*, 182 F.3d 452, 457 (6th Cir. 1999). So if the underlying drug offense and the schoolyard enhancement offense are not charged in the same indictment, this instruction should be modified. Moreover, if the underlying drug offense is not charged in the same indictment, the court must instruct the jury on its duty to find the elements of that underlying offense beyond a reasonable doubt. *Kuehne*, 547 F.3d at 680-81 (finding that in § 924(c) case, failure to separately instruct jury regarding elements of underlying drug trafficking offense was error but harmless).

In paragraph (1), the second sentence recognizes that the court determines whether the substance the defendant is charged with possessing falls within the definition of a controlled substance under 21 U.S.C. § 812.

The list of elements in paragraph (1) is based on the statute, § 860(a).

The statute includes no mens rea term. The Committee inserted the mens rea of knowingly in paragraph (1)(A) based on cases defining the mens rea required for the underlying § 841 drug offense. As explained in the commentaries for the § 841 crimes (Instructions 14.01, 14.02 and 14.03), that statute includes a mens rea of “knowingly or intentionally” but the Sixth Circuit often omits the optional term intentionally from the list of elements for § 841 offenses. Based on these cases using the mens rea of knowingly in the context of § 841, in this situation where the statute by its terms includes no mens rea, the Committee used the term “knowingly.”

The definitions in paragraph (2)(A) are provided in § 860(e). Some phrases in the definitions were bracketed to help minimize unnecessary words.

The definition of “distribute” in paragraph (2)(B) is based on several sources. The term “distribute” in § 841(a)(1) is defined as “to deliver . . . a controlled substance.” § 802(11). The terms “deliver” and “delivery” are defined as “the actual, constructive, or attempted transfer of a controlled substance . . .” § 802(8). In *United States v. Vincent*, 20 F.3d 229, 233 (6th Cir. 1994), the court used the term deliver and cited § 802(11). The first bracketed sentence is drawn from § 802(8), quoted *supra*. The second bracketed sentence, stating that distribution includes the sale of a controlled substance, is based on *United States v. Robbs*, 75 F. App’x 425, 431 (6th Cir. 2003) (unpublished).

In paragraph (2)(C), the definition of “knowingly” which states that the defendant need not know the type or quantity of controlled substance involved is based on cases construing § 841, including *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003); *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001); and *United States v. Stapleton*, 297 F. App’x 413, 425-26 (6th Cir. 2008) (unpublished). Under these cases, knowledge that the defendant possessed “some type of controlled substance” is sufficient. *Stapleton, supra* at 426 (*citing Villarce, supra*). Also, knowledge that the defendant possessed “some quantity” of the controlled substance is sufficient. *Villarce, supra* at 438 (italics omitted). The final sentence in paragraph (2)(C) (stating that the defendant need not know that the distribution was near a prohibited place) is based on Sixth Circuit cases holding that § 860(a) does not incorporate any *mens rea* requirement on the proximity of the prohibited place. *See United States v. Lloyd*, 10 F.3d 1197, 1218 (6th Cir. 1993); *United States v. Cross*, 900 F.2d 66, 69 (6th Cir. 1990).

The Sixth Circuit has determined that § 860(a) convictions withstand commerce clause challenges because congressional power derives from the interstate nature of the illegal drug trade. The jurisdictional element need not be proved in the individual case because the offense necessarily affects interstate commerce. *United States v. Tucker*, 90 F.3d 1135 (6th Cir. 1996).

The title for the instruction is based on the title of the statute establishing the offense, § 860.

#### **14.07A UNANIMITY REQUIRED: DETERMINING AMOUNT OF CONTROLLED SUBSTANCE ( § 841)**

(1) The defendant is charged in Count \_\_\_\_ of the indictment with [*insert name of § 841 offense*]. If you find the defendant guilty of this charge, you will then be asked to determine the quantity of the controlled substance involved in the offense. You will be provided with a special verdict form for this purpose.

(2) If you find by unanimous agreement that the government has proved beyond a reasonable doubt that the offense involved a quantity of at least \_\_\_\_\_ of a mixture or substance containing a detectable amount of [*name controlled substance*], then please indicate this finding by checking that line on the special verdict form.

[(3) If you do not so find, you will then be asked to determine whether the government has proved a lesser quantity. If you unanimously find that the government has proved beyond a reasonable doubt that the offense involved a quantity of at least \_\_\_\_\_ of a mixture or substance containing a detectable amount of [*name controlled substance*], then please indicate this finding by checking that line on the special verdict form.]

(4) In determining the quantity of the controlled substance involved in the offense, you need not find that the defendant knew the quantity involved in the offense.

#### **Use Note**

This instruction is former Instruction 8.03C, which has been deleted from Chapter 8 and included in this chapter on elements of controlled substances offenses. This instruction explains the requirements of *Apprendi v. New Jersey*, 530 U.S. 466 (2000) for a § 841 prosecution. In these cases, the committee recommends that the court give this instruction and use a special verdict form. Special verdict forms are provided below following the commentary.

Depending upon the nature and quantity of the controlled substance alleged in the indictment and the special verdict form used, bracketed paragraph (3) may not be necessary to determine the quantity.

#### **Committee Commentary 14.07A** (current through February 15, 2011)

Aside from the requirement that the jury unanimously agree on all facts that are elements of the offense, *see Richardson v. United States*, 526 U.S. 813, 817 (1999), the jury must also unanimously agree on any fact (other than a prior conviction) that increases the statutory maximum. *Apprendi v. New Jersey*, 530 U.S. 466, 490 (2000); *see also Jones v. United States*, 526 U.S. 227 (1999). Under subsections 841(b)(1)(A) and (B), the quantity of a controlled substance can increase the statutory maximum of 20 years provided in subsection 841(b)(1)(C). In those cases, the jury must agree unanimously on a minimum quantity involved in the § 841 offense. Instruction 14.07A Unanimity Required – Determining Amount of Controlled



Substance (§ 841) is designed for these cases where jury unanimity is required. The instruction explains the background to the jury, and special verdict forms follow to allow the jury to work through the questions and record its decisions on the quantity.

As an example, if the indictment alleges a quantity of 280 grams or more of cocaine base, this instruction and the special verdict forms are intended to elicit, first, whether the government has proved an amount of 280 grams or more. Such a finding would invoke a statutory maximum sentence of life imprisonment and a mandatory minimum sentence of 10 years imprisonment under § 841(b)(1)(A)(iii) (assuming that the defendant has no prior felony drug convictions, which would further enhance his sentence). If the jury does not find that the government proved this quantity, it must then determine whether the government proved a quantity that met or exceeded a lesser threshold, in this case 28 grams of cocaine base. Such a finding would invoke a statutory maximum sentence of 40 years imprisonment and a mandatory minimum sentence of 5 years imprisonment under § 841(b)(1)(B)(iii). If the jury finds that the government has proved neither of these threshold quantities, then the base statutory maximum sentence of 20 years imprisonment would apply under § 841(b)(1)(C). These threshold amounts for cocaine base became effective on August 3, 2010 as part of the Fair Sentencing Act of 2010. That Act is not retroactive, so the court must apply the penalty provision in effect at the time the defendant committed the offense. *United States v. Carradine*, 621 F.3d 575, 580 (6th Cir. 2010).

The government need not prove that the defendant knew the quantity of drugs involved in the offense. The Sixth Circuit explained:

It is settled, even after *Apprendi*, that the “government need not prove mens rea as to the type and quantity of the drugs” in order to establish a violation of § 841(b). *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003); *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001). As the *Garcia* Court explained, drug type and quantity are irrelevant to the mens rea element of § 841(a), which requires nothing more specific than an intent to distribute a controlled substance. 252 F.3d at 844. Likewise, intent is irrelevant to the penalty provisions of § 841(b), which require only that the specified drug types and quantities be “involved” in an offense. *Id.*

*United States v. Gunter*, 551 F.3d 472, 484-85 (6th Cir. 2009).

Listed below are threshold amounts for seven common controlled substances from § 841(b) that may be inserted in the instruction and special verdict form.

1. Heroin

- \_\_\_\_\_ 1000 grams (1 kilogram) or more
- \_\_\_\_\_ 100 grams or more but less than 1000 grams (1 kilogram)
- \_\_\_\_\_ less than 100 grams

Authority: § 841(b)(1)(A)(i) and (b)(1)(B)(i).

2. Cocaine

- \_\_\_\_\_ 5000 grams (5 kilograms) or more
- \_\_\_\_\_ 500 grams or more but less than 5000 grams (5 kilograms)

\_\_\_\_\_ less than 500 grams  
Authority: § 841(b)(1)(A)(ii) and (b)(1)(B)(ii).

3. Cocaine base

\_\_\_\_\_ 280 grams or more  
\_\_\_\_\_ 28 grams or more but less than 280 grams  
\_\_\_\_\_ less than 28 grams

Authority: § 841(b)(1)(A)(iii) and (b)(1)(B)(iii). These threshold amounts for cocaine base became effective on August 3, 2010 as part of the Fair Sentencing Act of 2010. That Act is not retroactive, so the court must apply the penalty provision in effect at the time the defendant committed the offense. *United States v. Carradine*, 621 F.3d 575, 580 (6th Cir. 2010).

4. PCP

\_\_\_\_\_ 100 grams or more  
\_\_\_\_\_ 10 grams or more but less than 100 grams  
\_\_\_\_\_ less than 10 grams  
Authority: § 841(b)(1)(A)(iv) and (b)(1)(B)(iv).

5. LSD

\_\_\_\_\_ 10 grams or more  
\_\_\_\_\_ 1 gram or more but less than 10 grams  
\_\_\_\_\_ less than 1 gram  
Authority: § 841(b)(1)(A)(v) and (b)(1)(B)(v).

6. Marihuana

\_\_\_\_\_ 1000 kilograms or more  
\_\_\_\_\_ 100 kilograms or more but less than 1000 kilograms  
\_\_\_\_\_ 50 kilograms or more but less than 100 kilograms  
\_\_\_\_\_ less than 50 kilograms  
Authority: § 841(b)(1)(A)(vii), (b)(1)(B)(vii) and (b)(1)(D).

7. Methamphetamine

\_\_\_\_\_ 50 grams or more  
\_\_\_\_\_ 5 grams or more but less than 50 grams  
\_\_\_\_\_ less than 5 grams  
Authority: § 841(b)(1)(A)(viii) and (b)(1)(B)(viii).

Provided below are two special verdict forms designed for § 841 prosecutions, Forms 14.07A-1 and 14.07A-2. The Committee decided to provide two versions of a special verdict form so district judges may choose the form they prefer. Form A-1 asks the jury to identify the amount of drugs proved by asking one question and giving the jury several choices for the answer, from which it must choose just one. Form A-2 asks the jury to identify the amount of drugs by asking two sequential questions, first whether the greater amount was proved, and if not, whether the lesser amount was proved.

Special Verdict Form § 841  
Form 14.07A-1

We, the jury, unanimously find the following:

COUNT \_\_\_\_

Question 1. With respect to the charge in count \_\_\_\_ of the indictment for [*insert name of § 841 offense*], we find the defendant [*insert name*]:

Guilty \_\_\_\_\_ Not Guilty \_\_\_\_\_

If you answered guilty in response to Question 1, proceed to Question 1(a).

If you answered not guilty in response to Question 1, skip Question 1(a) and proceed to [*next count or signature line*].

Question 1(a). With respect to Count \_\_\_\_\_, the amount of the mixture or substance containing a detectable amount of [*name controlled substance*] was (indicate answer by checking one line below):

\_\_\_\_\_ [*identify amount from § 841(b)(1)(A)*] or more.

\_\_\_\_\_ less than [*identify amount from § 841(b)(1)(A)*] but more than [*identify amount from § 841(b)(1)(B)*].

\_\_\_\_\_ less than [*identify amount from § 841(b)(1)(B)*].

Proceed to [*next count or signature line*].

Special Verdict Form § 841  
Form 14.07A-2

We, the jury, unanimously find the following:

COUNT \_\_\_\_

Question 1. With respect to the charge in count \_\_\_\_ of the indictment for [*insert name of § 841 offense*], we find the defendant [*insert name*]:

Guilty \_\_\_\_\_ Not Guilty \_\_\_\_\_

If you answered guilty in response to Question 1, proceed to Question 1(a).

If you answered not guilty in response to Question 1, skip Questions 1(a) and 1(b) and proceed to [*next count or signature line*].

Question 1(a). With respect to Count \_\_\_\_\_, the amount of the mixture or substance containing a detectable amount of [*name controlled substance*] was:

\_\_\_\_\_ [*identify amount from § 841(b)(1)(A)*] or more.  
\_\_\_\_\_ less than [*identify amount from § 841(b)(1)(A)*].

If you chose the first option of [*identify amount from § 841(b)(1)(A)*] or more, skip  
Question 1(b) and proceed to [*next count or signature line*].

If you chose the second option of less than [*identify amount from § 841(b)(1)(A)*], proceed to Question 1(b).

Question 1(b). With respect to Count \_\_\_\_\_, the amount of the mixture or substance containing a detectable amount of [*name controlled substance*] was:

\_\_\_\_\_ [*identify amount from § 841(b)(1)(B)*] or more.  
\_\_\_\_\_ less than [*identify amount from § 841(b)(1)(B)*].

Proceed to [*next count or signature line*].

#### **14.07B UNANIMITY REQUIRED: DETERMINING AMOUNT OF CONTROLLED SUBSTANCE (§ 846)**

(1) The defendant is charged in Count \_\_\_\_\_ of the indictment with conspiracy to [*insert object(s) of conspiracy*]. If you find the defendant guilty of this charge, you will then be asked to determine the quantity of the controlled substance involved in the conspiracy as a whole. You will be provided with a special verdict form for this purpose.

(2) If you find by unanimous agreement that the government has proved beyond a reasonable doubt that the conspiracy as a whole involved a quantity of at least \_\_\_\_\_ of a mixture or substance containing a detectable amount of [*name controlled substance*], then please indicate this finding on the special verdict form.

[(3) If you do not so find, you will then be asked to determine whether the government has proved a lesser quantity. If you unanimously find that the government has proved beyond a reasonable doubt that the conspiracy as a whole involved a quantity of at least \_\_\_\_\_ of a mixture or substance containing a detectable amount of [*name controlled substance*], then please indicate that finding on the special verdict form.]

(4) In determining the quantity of the controlled substance involved in the conspiracy as a whole, you need not find that the defendant knew the quantity involved in the offense.

#### **Use Note**

This instruction explains the requirements of *Apprendi v. New Jersey*, 530 U.S. 466 (2000) in a controlled substances conspiracy case. In these cases, the committee recommends that the court give this instruction and use a special verdict form. Special verdict forms are provided below following the commentary.

Depending upon the nature and quantity of the controlled substance alleged in the indictment and the special verdict form used, bracketed paragraph (3) may not be necessary to determine the quantity for sentencing purposes.

#### **Committee Commentary 14.07B** (current through February 15, 2011)

As described in the Commentary to Instruction 14.07A, under *Apprendi*, the jury must unanimously agree on any fact (other than a prior conviction) that increases the statutory maximum. In § 846 conspiracy prosecutions, the quantity of a controlled substance can increase the statutory maximum and so require the jury to agree unanimously on a minimum quantity involved in the conspiracy. Instruction 14.07B Unanimity Required – Determining Amount of Controlled Substance (§ 846) and the accompanying special verdict forms are designed for these cases where jury unanimity is required. The instruction explains the background to the jury, and

the special verdict forms provided below allow the jury to work through the questions and record its decisions on the amount.

The Sixth Circuit holds that the amount of drugs attributable to an individual defendant for a violation of § 846 is the amount of drugs involved in the conspiracy as a whole, proved beyond a reasonable doubt. *United States v. Robinson*, 547 F.3d 632, 639-40 (6th Cir. 2008). The mens rea of the defendant as to the amount of drugs involved is irrelevant. See *id.* and *United States v. Gunter*, 551 F.3d 472, 484-85 (6th Cir. 2009) (*citing* *United States v. Villarce*, 323 F.3d 435, 439 (6th Cir. 2003) and *United States v. Garcia*, 252 F.3d 838, 844 (6th Cir. 2001)).

Listed below are threshold amounts for seven common controlled substances from § 841(b) that may be inserted in the instruction and special verdict form.

1. Heroin

- \_\_\_\_\_ 1000 grams (1 kilogram) or more
- \_\_\_\_\_ 100 grams or more but less than 1000 grams (1 kilogram)
- \_\_\_\_\_ less than 100 grams

Authority: § 841(b)(1)(A)(i) and (b)(1)(B)(i).

2. Cocaine

- \_\_\_\_\_ 5000 grams (5 kilograms) or more
- \_\_\_\_\_ 500 grams or more but less than 5000 grams (5 kilograms)
- \_\_\_\_\_ less than 500 grams

Authority: § 841(b)(1)(A)(ii) and (b)(1)(B)(ii).

3. Cocaine base

- \_\_\_\_\_ 280 grams or more
- \_\_\_\_\_ 28 grams or more but less than 280 grams
- \_\_\_\_\_ less than 28 grams

Authority: § 841(b)(1)(A)(iii) and (b)(1)(B)(iii). These threshold amounts for cocaine base became effective on August 3, 2010 as part of the Fair Sentencing Act of 2010.

That Act is not retroactive, so the court must apply the penalty provision in effect at the time the defendant committed the offense. *United States v. Carradine*, 621 F.3d 575, 580 (6th Cir. 2010).

4. PCP

- \_\_\_\_\_ 100 grams or more
- \_\_\_\_\_ 10 grams or more but less than 100 grams
- \_\_\_\_\_ less than 10 grams

Authority: § 841(b)(1)(A)(iv) and (b)(1)(B)(iv).

5. LSD

- \_\_\_\_\_ 10 grams or more
- \_\_\_\_\_ 1 gram or more but less than 10 grams
- \_\_\_\_\_ less than 1 gram

Authority: § 841(b)(1)(A)(v) and (b)(1)(B)(v).

6. Marihuana

- \_\_\_\_\_ 1000 kilograms or more
- \_\_\_\_\_ 100 kilograms or more but less than 1000 kilograms
- \_\_\_\_\_ 50 kilograms or more but less than 100 kilograms
- \_\_\_\_\_ less than 50 kilograms

Authority: § 841(b)(1)(A)(vii), (b)(1)(B)(vii) and (b)(1)(D).

7. Methamphetamine

- \_\_\_\_\_ 50 grams or more
- \_\_\_\_\_ 5 grams or more but less than 50 grams
- \_\_\_\_\_ less than 5 grams

Authority: § 841(b)(1)(A)(viii) and (b)(1)(B)(viii).

Provided below are two special verdict forms designed for § 846 prosecutions, Forms 14.07B-1 and 14.07B-2. The Committee decided to provide two versions of a special verdict form so district judges may choose the form they prefer. Form B-1 asks the jury to identify the amount of drugs proved by asking one question on the amount and giving the jury several choices for the answer, from which it must choose just one. Form B-2 asks the jury to identify the amount of drugs by asking two sequential questions, first whether the greater amount was proved, and if not, whether the lesser amount was proved.

Special Verdict Form § 846  
Form 14.07B-1

We, the jury, unanimously find the following:

COUNT \_\_\_\_

Question 1. With respect to the charge in count \_\_\_\_ of the indictment for conspiracy to  
*[insert object(s) of conspiracy]*, we find the defendant *[insert name]*:

Guilty \_\_\_\_\_ Not Guilty \_\_\_\_\_

If you answered guilty in response to Question 1, proceed to Question 1(a).

If you answered not guilty in response to Question 1, skip Question 1(a) and  
proceed to *[next count or signature line]*.

Question 1(a). With respect to Count \_\_\_\_ , the amount of the mixture or substance  
containing a detectable amount of *[name controlled substance]* involved in the  
conspiracy as a whole was (indicate answer by checking one line below):

\_\_\_\_\_ *[identify amount from § 841(b)(1)(A)]* or more.

\_\_\_\_\_ less than *[identify amount from § 841(b)(1)(A)]* but more than *[identify  
amount from § 841(b)(1)(B)]*.

\_\_\_\_\_ less than *[identify amount from § 841(b)(1)(B)]*.

Proceed to *[next count or signature line]*.



Special Verdict Form § 846  
Form 14.07B-2

We, the jury, unanimously find the following:

COUNT \_\_\_\_

Question 1. With respect to the charge in count \_\_\_\_ of the indictment for conspiracy to  
*[insert object(s) of conspiracy]*, we find the defendant *[insert name]*:

Guilty \_\_\_\_\_ Not Guilty \_\_\_\_\_

If you answered guilty in response to Question 1, proceed to Question 1(a).

If you answered not guilty in response to Question 1, skip Questions 1(a) and 1(b)  
and proceed to *[next count or signature line]*.

Question 1(a). With respect to Count \_\_\_\_\_, the amount of the mixture or substance  
containing a detectable amount of *[name controlled substance]* involved in the  
conspiracy as a whole was:

\_\_\_\_\_ *[identify amount from § 841(b)(1)(A)]* or more.  
\_\_\_\_\_ less than *[identify amount from § 841(b)(1)(A)]*.

If you chose the first option of *[identify amount from § 841(b)(1)(A)]* or more,  
skip Question 1(b) and proceed to *[next count or signature line]*.

If you chose the second option of less than *[identify amount from § 841(b)(1)(A)]*,  
proceed to Question 1(b).

Question 1(b). With respect to Count \_\_\_\_\_, the amount of the mixture or substance  
containing a detectable amount of *[name controlled substance]* involved in the  
conspiracy as a whole was:

\_\_\_\_\_ *[identify amount from § 841(b)(1)(B)]* or more.  
\_\_\_\_\_ less than *[identify amount from § 841(b)(1)(B)]*.

Proceed to *[next count or signature line]*.